

Electronic Tariff Filing System (ETFS)

User Guide

Version 1.2

July 12, 2013

Prepared by:



7735 Old Georgetown Road - 12th Floor Bethesda, MD 20814 (301) 656-4030 www.computechinc.com

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1 Introduction

1.1 System Overview

The Electronic Tariff Filing System (ETFS) streamlines the work of the Wireline Competition Bureau (WCB) by allowing the electronic filing of tariffs, comments, petitions and other documents. ETFS also permits searching through these filings and associated information via the Internet. This User Guide will assist you in completing your electronic filings and using other features of the system.

Pursuant to Report and Order FCC 11–92, adopted and released on June 9, 2011, all tariff filers are required to file tariffs electronically over the Internet, using ETFS. This means that nondominant carriers – Competitive Local Exchange Carriers (CLECs) and others – are now required to file electronically. Previously, only dominant carriers – Incumbent Local Exchange Carriers (ILECs) – were required to file electronically.

Specifically, FCC requires all tariff filers to follow the Commission's rules for electronic tariff filing and file using ETFS for their tariffs, tariff revisions, Base Documents, and associated documents, including applications for special permission, and petitions and replies to petitions against tariff filings. The full amended rules are available in Volume 76 of the Federal Register, 76 FR 43206 (2011-07-20).

ETFS reduces the filing burden on non-ILECs by providing an efficient alternative to preparing, submitting, and maintaining paper records. ETFS has two advantages over traditional record-keeping formats:

- Electronic documents are easier to store and retrieve than paper records. Not only can a small computerized storage device take the place of several large filing cabinets, but electronic filing programs can access, sort, and display many records in the time it would take to physically retrieve one paper file.
- Electronic documents can be sent instantly and securely through the Internet. All forms of delivering paper documents have a built-in delay from the time the document is sent and the time it is received; documents sent electronically arrive at their destination within minutes. ETFS processes submissions equally quickly; the non-confidential tariff filings and associated information entered into the system are available for public viewing a few minutes after the documents are received.

The public also benefits in several ways:

- ETFS makes tariff filings and associated information available at any time to anyone who has access to browser software.
- ETFS provides non-confidential documents to the public almost immediately after



they are filed.

For questions not answered in this User Guide or in the FAQ available on the ETFS Help page, email ETFS Staff at etfs@fcc.gov.

1.2 Document References

- ETFS User's Manual Version 1.3
- ETFS User's Manual Version 7.1



2 Submit a Filing Using ETFS

2.1 Navigate to ETFS and Log In

Enter http://fjallfoss.fcc.gov/prod/ccb/etfs into your web browser address bar to navigate to the general ETFS home page. Click the "Non-ILEC" button in the center of the page to go to the ETFS for Non-ILECs Log In screen. The recommended web browser to use when accessing ETFS is Internet Explorer, version 7 or later. Using an unsupported browser or older version of Internet Explorer could result in unexpected system behavior.

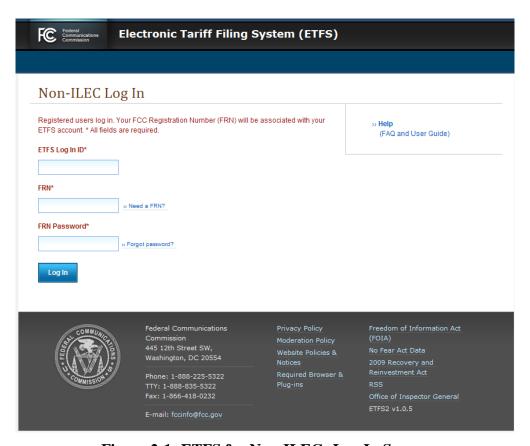


Figure 2-1: ETFS for Non-ILECs Log In Screen

On the ETFS Log In screen, enter your ETFS Log In ID, your FRN and FRN Password. Use of the FRN is mandatory. The Commission Registration System (CORES) – a registration system for entities filing applications or making payments with the Commission – assigns a unique 10-digit FRN used by all Commission systems that handle financial, authorization of service, and enforcement activities. If you have not previously conducted business with the FCC and do not have an FRN, click on the "Need a FRN?" link to enter CORES and obtain an FRN.

After entering the required information, click "Log In." If the ETFS Log In ID, FRN, and/or FRN Password are missing or not valid, you will receive an error message. Use



the appropriate help link to resolve the error. For instance, if you forgot your FRN password, simply click on the "Forgot Password?" link for help.

If you need additional help logging in, contact ETFS staff at etfs@fcc.gov.

2.2 Provide Necessary FRN for All Filing Parties

After logging in, you will be presented with the Type of Filing screen. Before continuing to the next screen, ETFS needs to know if multiple parties are involved with the filing.

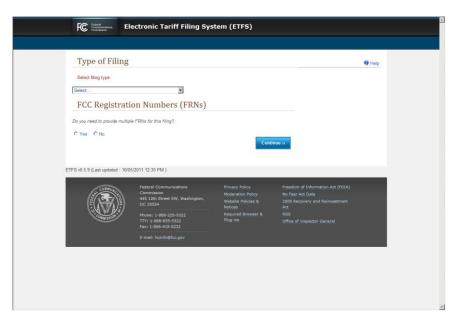


Figure 2-2: Type of Filing

You will either be filing on your own behalf, or filing on behalf of one or more carriers.

If at any time during the filing process you wish to return to the Type of Filing screen, simply click on the Home button.

2.2.1 LEC filing on your own behalf

If you are a LEC filing on your own behalf then only the FRN provided at log in is needed. Make sure the "No" radio button is selected beneath "FCC Registration Numbers (FRNs)," choose the type of filing (see <u>Section 2.3</u> of this document), and click "Continue."

2.2.2 Filing on behalf of one or more non-ILECs

If you are filing on behalf of one or more other entities then the FRN for each entity associated with the filing must also be included with the submission. All associated FRNs are submitted as a group. This group is given a unique name that is created by the filer.



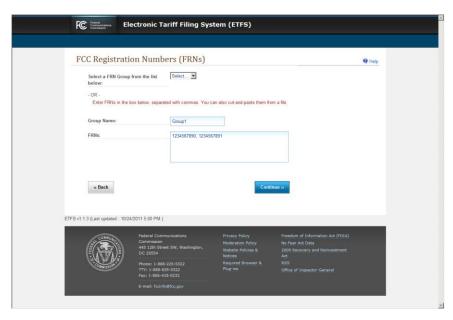


Figure 2-3: FCC Registration Numbers (FRNs)

Select the "Yes" radio button beneath "FCC Registration Numbers (FRNs)," choose the type of filing, and click "Continue." Follow the prompts to choose a preexisting FRN set or to enter a new FRN set and group name. When entering FRN numbers into the text box, separate each with a comma and space, e.g. "6235789215, 9183756489, 1085763451".

Once an FRN group has been submitted, it can be used in future submissions. On the FCC Registration Numbers (FRNs) screen, select it from the list of previously used FRN groups.

2.3 Select the Type of Filing

Choose the desired filing type from the dropdown menu on the Type of Filing page (**Figure 2-2**). Many filings involve a tariff. For general information on tariffs, see <u>Part 61</u> of the FCC's Rules and Regulations or visit the Wireline Competition Bureau online at http://transition.fcc.gov/wcb/ppd/tariffs.html.

If you have submitted a filing previously but have not submitted payment, a description of the unpaid filing(s) will be listed at the top of the page. Click on the appropriate filing in order to complete payment.

The following sections briefly describe each filing type and provide instructions for moving through each screen. The filing types available are:

Revised Tariff



- Revised Informational (OSP) Tariff
- Complete Base Tariff
- Create/File New Tariff
- File New Informational (OSP) Tariff
- Amended Transmittal
- Application For Special Permission
- Application for Review or Petition for Reconsideration
- Petition for Waiver
- Petition for Declaratory Ruling
- Amended Application for Special Permission

2.3.1 Revised Tariff

The Revised Tariff option allows for revision of a previously filed tariff. Select from the Tariff list box the tariff number(s) being referenced.

NOTE: The Revised Tariff screen contains a type of menu called a list box, which you will encounter several times during the filing process. Some list boxes allow you to select multiple items. To select multiple items in a list box, hold down the Control button on your keyboard while using the mouse to select the desired items. To choose multiple consecutive items, select the first item in the range, then press and hold the Shift button while you select the final item in the range. All intermediate items will also be selected.

Revised tariffs require a transmittal number. The transmittal number should be unique and consecutive to the previous transmittal number used, if known. If the previous transmittal number used is unknown, simply ensure that the number entered is unique.

The Description field defaults to "See Cover Letter." Enter a brief description if desired and click "Continue."



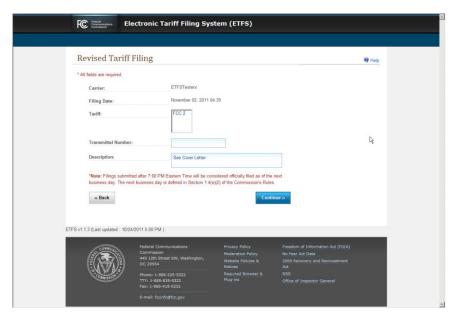


Figure 2-4: Revised Tariff

On the following screen, provide the effective date for each tariff by clicking in the relevant text box in the Effective Date column and selecting a date from the popup calendar widget. You may also type a date directly into the text box, using MM/DD/YYYY format. The effective date must be the same day as the filing date or later.

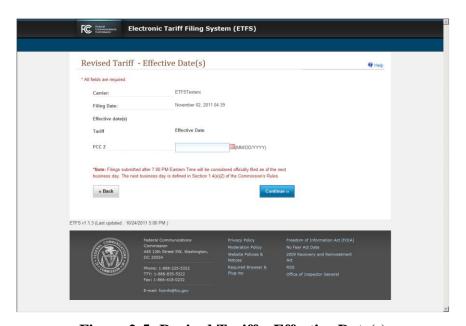


Figure 2-5: Revised Tariff – Effective Date(s)



2.3.2 Revised Informational (OSP) Tariff

Filing a Revised Informational (OSP) Tariff requires the same information as filing a standard Revised Tariff, with one exception: the transmittal number is optional.

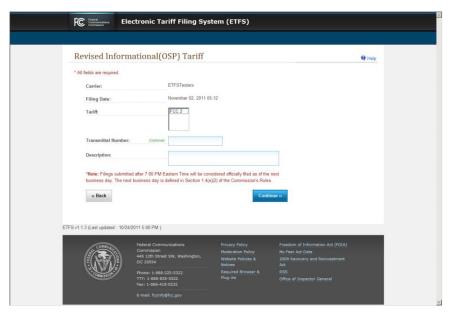


Figure 2-6: Revised Informational (OSP) Tariff

2.3.3 Complete Base Tariff

In order to file a complete base tariff, you need only select an existing FRN from the dropdown menu and enter a description of the tariff. A description is required.

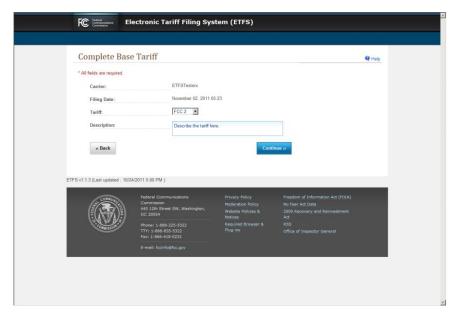


Figure 2-7: Complete Base Tariff



2.3.4 Create/File New Tariff

To file a new tariff requires completion of a number of fields: Effective Date, Tariff Number, Title, Transmittal Number, and Description.

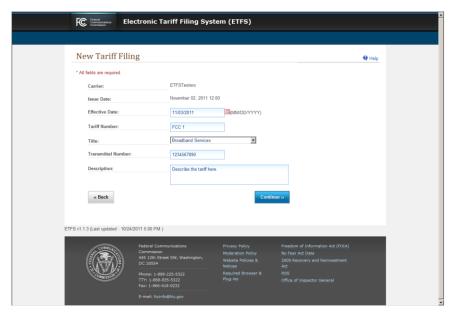


Figure 2-8: Create/File New Tariff

2.3.5 File New Informational (OSP) Tariff

Filing a New Informational (OSP) Tariff requires the same information as filing a standard new tariff, with one exception: a tariff number is not required.

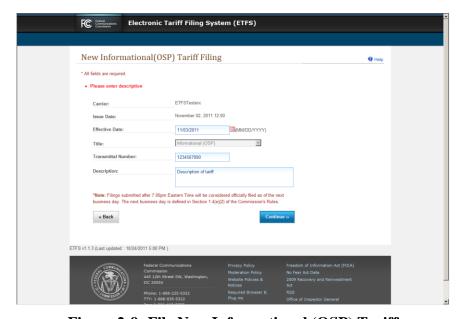


Figure 2-9: File New Informational (OSP) Tariff



2.3.6 Amended Transmittal Letter

This option allows you to amend a previously filed transmittal letter.

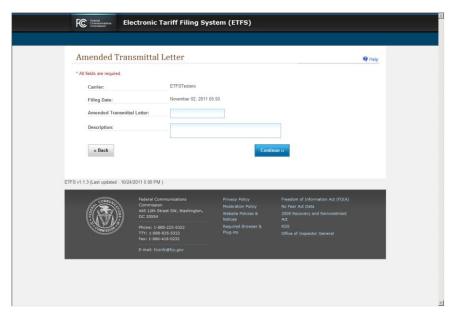


Figure 2-10: Amended Transmittal Letter

Enter the transmittal number for the transmittal letter you wish to amend. Provide a brief description of the amendment in the Description text box.

2.3.7 Application for Special Permission

This option allows you to file an application for special permission, for instance to request that the Commission waive a rule for your carrier.

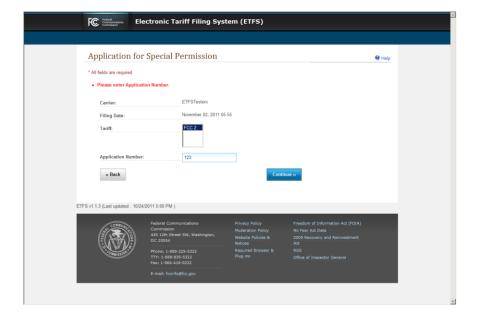




Figure 2-11: Application for Special Permission

Select the appropriate tariff(s) from the list box. Enter an application number. Special permission application numbers, like transmittal numbers, should continue to be numbered sequentially from the last non-electronically filed application (if known).

2.3.8 Application for Review or Petition for Reconsideration

Applications for review and petitions for reconsideration of an FCC decision may be filed within 30 days from the date of a Public Notice.

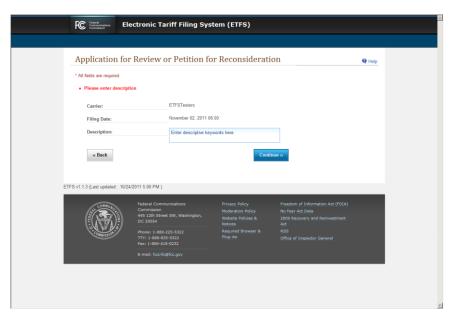


Figure 2-12: Application for Review or Petition for Reconsideration

Type keywords into the Description text box to describe the Order you are referencing. You can use a very specific description such as "DA970193" or a very general description such as "MO&O, Kenneth E. Brouten v. AT&T Corp." The system updates the prepared submission record with the entered description.

2.3.9 Petition for Waiver

The Petition for Waiver option enables you to submit a request for a fee or ruling to be waived. Pursuant to Section 1.925 of its Rules, the Commission may grant a waiver of if (i) it is shown that the underlying purpose of the rule would not be served or would be frustrated by application to the instant case, and that a grant of the requested waiver would be in the public interest; or (ii) in view of the unique or unusual factual circumstances of the instant case, application of the rules would be inequitable, unduly burdensome or contrary to the public interest, or that the applicant has no reasonable alternative.



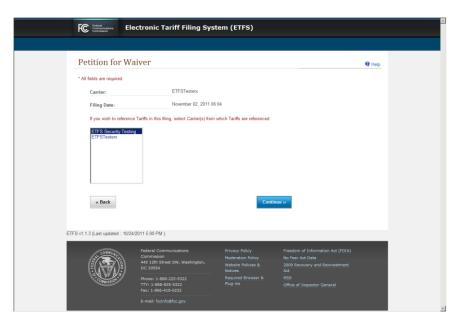


Figure 2-13: Petition for Waiver

You may select one carrier, multiple carriers or no carriers depending on the tariffs you wish to reference. To select multiple carriers, hold down the Control and Alt keys while using the mouse to select the desired carriers. If you accidentally selected a carrier but do not wish to reference a tariff, use the Back button to reset the list box.

Click "Continue" to move to the next page. If you chose any carriers, select the desired tariff(s) for each carrier. Type in the Reference Order, Rule Section, and Transmittal numbers, and describe your petition with a short sentence, such as "Waive rate increase for this Order." If you did not choose any carriers you must fill in either an Order or a Rule number. Click "Continue" to move on to the File Upload page.

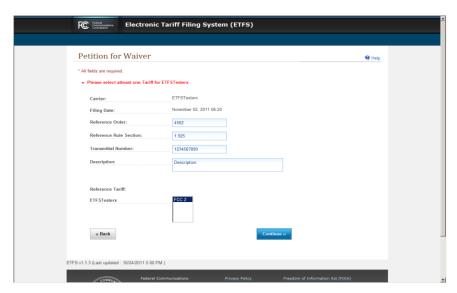


Figure 2-14: Petition for Waiver (Screen 2)



2.3.10 Petition for Declaratory Ruling

This option allows you to request that the FCC issue a declaratory ruling on a matter of public concern.

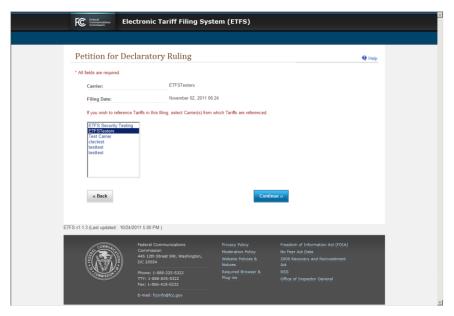


Figure 2-15: Petition for Declaratory Ruling

Filing a Petition for Declaratory Ruling is similar to filing a Petition for Waiver, except the reference order and transmittal number are not required. Select one carrier, multiple carriers or no carriers depending on the tariffs you wish to reference. Click "Continue." If you chose any carriers, select the desired tariffs for each carrier. A reference rule section and description are both required.

2.3.11 Amended Application for Special Permission

This option allows you to submit an amended version of a previously filed application for special permission.

Select the appropriate tariff(s) from the dropdown menu and enter an application number. When you have entered all of the information, click "Continue."



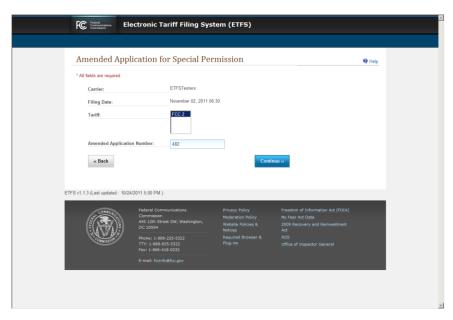


Figure 2-16: Amended Application for Special Permission

2.4 File Upload

For most filing types, after preparing your information for the FCC you will be prompted to attach files to the submission. These files are supporting documents that you have created on your own computer. The required file format is Adobe Portable Document Format (PDF). If you need help converting Microsoft Word or other word processing file formats to PDF, see the Frequently Asked Questions (FAQ) document available on the Log In page.

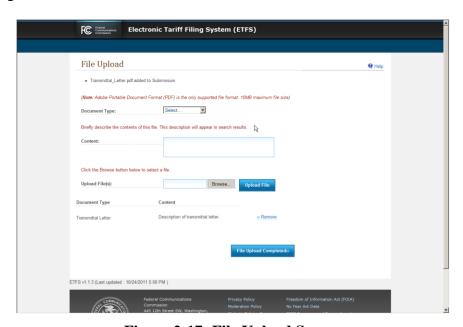


Figure 2-17: File Upload Screen



Select the appropriate document type from the dropdown menu and add a brief description of the document. The document types available in the dropdown will vary depending on the type of filing being submitted. When document type "Other" is selected, a description is required. Otherwise, a description is optional but recommended.

Next, use the "Browse" button to select a file to upload. Click "Preview" to ensure the correct file is attached, then click "Upload File" to complete the process. Note that once a file is uploaded, it is considered official and cannot be edited or deleted. Do not use the "Back" button in your browser after uploading a file. Doing so could cause a problem with your filing.

When your document is uploaded successfully, the filename and description will be displayed on the screen. Repeat the process for each additional file you wish to upload. There is no restriction on the number of files you can upload or attach to a filing. If you wish to view an uploaded document, click on the Document Type link in the list at the bottom of the screen and Adobe Reader will launch the document for viewing.

After uploading, the file will be loaded into the database and searchable by the public. There are no confidential attachments. All documents are available for viewing by the public.

Please note that occasionally the system's resources may become temporarily consumed due to high system demand. If the file upload should time out during this step, click on the "Back" button and choose "Upload File" again. Be sure to use the Back button on the screen rather than the Back button in the web browser. The upload operation is successful when you see the filename and description displayed on the screen.

The File Upload screen is also accessible via the "Edit Attachments" link located on the summary screen for each filing type.

2.5 Summary Screen

After entering your tariff information and uploading any necessary documents, you will be presented with a summary screen. The summary screen may look different depending on the type of filing completed. **Figure 2-20**, below, shows the summary screen for a new tariff filing.



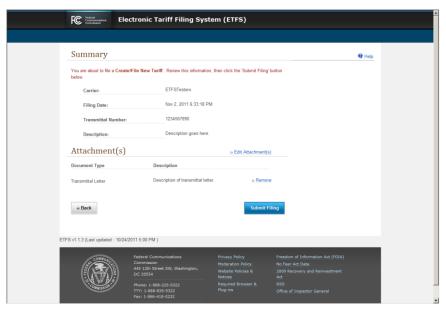


Figure 2-18: Summary Screen for New Tariff

If the information on the summary page is correct, click "Submit Filing." If appropriate, documents will be made available for public viewing. This process may take several minutes depending on the load on the system and the quantity of incoming documents. Users can then browse or search to find the documents intended for public viewing.

NOTE: ETFS accepts submissions regardless of whether the Commission is currently open for business. However, all submissions received after 7:00 pm Eastern Time are automatically postdated to the next business day, as defined in Section 1.4 (e)(2) of the FCC rules and regulations. If the filing was started prior to 7:00 pm, but completed after 7:00 pm, the entire submission will be dated for the following business day. If the Commission is currently closed, you will receive a warning upon submitting the filing indicating that the filing will be considered official the next business day. This may affect the Effective Date of the filing.

2.6 Filing Confirmation

After clicking "Submit Filing" on the summary page, you will be taken to the Filing Confirmation page.



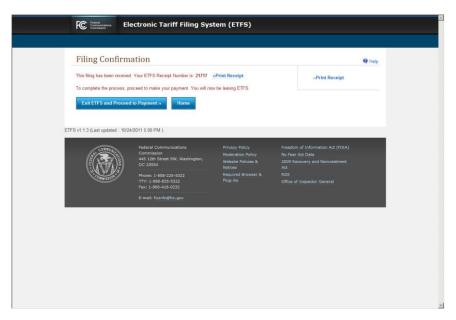


Figure 2-19: Filing Confirmation Screen

First, print a receipt for proof that your filing was received by the FCC. Click "Print Receipt" to display a printer-friendly version of the Filing Summary page (**Figure 2-22**). A standard printing preferences dialog box will pop up. Select the name of the printer you want to use and any other desired preferences and click "Print." If you accidentally close the Print Preferences box but still want to print, choose File/Print in the web browser menu to reopen the dialog box.

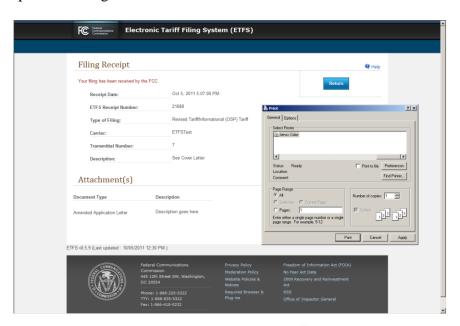


Figure 2-20: Print Receipt Screen

After printing is finished, click "Return" to return to the filing confirmation screen.



The filing process is **not** yet complete!

If your filing requires a fee, you must click on "Exit ETFS and Proceed to Payment" in order to complete the filing process. You will be taken to fcc.gov and prompted to submit payment and complete Form 159, a multi-purpose form that must accompany any payment to the FCC. The following filing types require a payment:

- Create/File New Tariff
- Revised Tariff
- File New Informational (OSP) Tariff
- Revised Informational (OSP) Tariff
- Application For Special Permission

If your filing does not require a fee then you have completed the filing process. You may now exit the system.



3 Search or Browse Filed Tariff Documents

A primary benefit of electronic filing is the ability for users to quickly search or browse through filings stored in the ETFS database. Search and browse functions are available on the ETFS Public Access page. It is not necessary to log into the system in order to search or browse filed tariffs.

The available search and browse options are:

- Search Tariff Documents
- Browse Tariff Documents
- Browse Tariff Documents Filed by the Public

3.1 Search Tariff Documents

This page allows you to quickly search the database for specific information and arrange the results in the order most convenient for you.

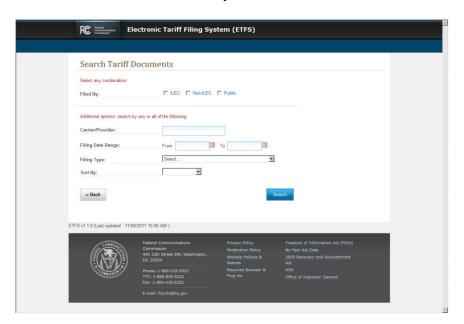


Figure 3-1: Search Tariff Documents

The page is divided into four broad search categories – Filed By, Carrier/Provider, Filing Date Range, and Filing Type. Use as many of the search options as possible in order to narrow the search results. If your search returns more than 250 records, you will receive an error and be prompted to add more search criteria.

In the Carrier/Provider field, begin typing the name of the carrier or provider and a dynamic list of available results will appear. If you selected a check box in the Filed By field then only relevant options will appear in the list. Click on the desired carrier or provider to select it.



The Sort By option determines the order in which the records will be listed. After running a search, navigate through the search results page by clicking on "Next," "Last," or a particular results page number. You may also adjust the number of results displayed per page. The maximum number of results that can be displayed is 250 documents.

3.2 Browse Tariff Documents

To browse through all of a particular LEC's tariff filings and documents, click the "Browse Tariff Documents" link on the ETFS Public Access page. A complete list of the carriers registered in ETFS will display. To make a selection, click a carrier's name. The list is in alphabetical order based on carrier name but may be switched to reverse-alphabetical order by clicking on the LEC Name column heading.

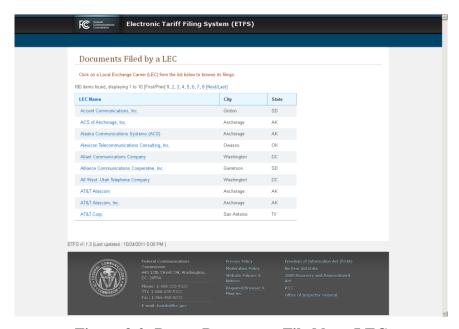


Figure 3-2: Brows Documents Filed by a LEC

After clicking the carrier's name, you will see a list of tariff filings for that carrier. To view a tariff, click on its number. The number is a link to a page that lists all of the documents associated with the tariff.

NOTE: Both the Search function and the Browse function enable you to view or download a document via the "View / Download File" link on the right hand side of the results list. After clicking the link, a File Download dialog box pops up. Select "Open" to view the file or "Save" to download the file to your computer. When saving to your computer, be sure to note which directory the file was saved in. To view a document online, your browser must have the Adobe PDF plugin, which is available as a free download from the Adobe web site.

Search for specific tariff documents or file documents by clicking the "Back" button until



you reach the Public Access page, then select "Search Tariff Documents."

3.3 Browse Documents Filed by the Public

If you wish to browse documents filed by the public, click the "Browse Tariff Documents Filed by the Public" link on the ETFS Public Access page. All documents filed by the public are displayed, sorted by date filed. Use the View/Download File link to view or save the associated document(s).

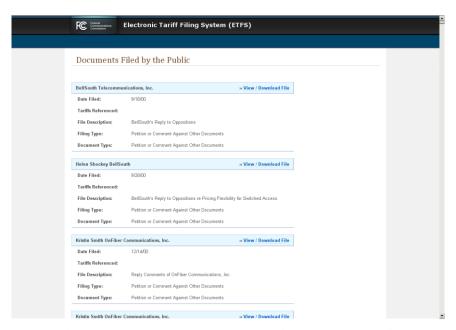


Figure 3-3: Browse Documents Filed by the Public



4 Glossary

attach To link two electronic files together, usually used to describe a text file

linked to an e-mail message.

browser The special software used to read web pages.

directory An area where information is stored in your computer. Also called a folder.

download To copy a file from another computer onto your computer.

dropdown

menu

A pre-typed list of options linked to a text field. Also called a popup menu.

homepage The first page of a web site. Also called a main page.

Internet A worldwide network of computers offering assorted services, including e-

mail, electronic chat, and World Wide Web access.

link A point on one web page that connects to another web page.

list box A type of menu containing list items that enables you to select one or

sometimes multiple items by holding down Control or Shift.

plugin A small program that attaches or "plugs in" to a larger program and gives

the larger program more capabilities.

popup A pre-typed list of options linked to a text field. Also called a dropdown

menu menu.

radio A small round button on an interactive form allowing you to select only

button one option.

scroll To move through a document, often by using the scroll wheel on your

mouse or sliding an on-screen scroll box between two arrows.

text box An area of an interactive form where you can type directly into the form.

upload To send a file from your computer to another computer.

URL U(niform) R(esource) L(ocator) the code telling your browser where to find

a web page.

widget An element of a web page such as a dropdown menu or list box that allows

the user to manipulate data on the page.

view To look at a web page.

web page A single HTML file, containing text and graphics, viewable by a browser.

web site A collection of interconnected web pages on a single topic.

World An internet service that allows users to upload and view text files and

Wide Web pictures exactly as they were designed, like the pages of a book.

